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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No. : 10/689,258 Confirmation No.: 2882  
Applicant(s) : Daniel E. Resasco, Walter E. Alvarez,  
Jose E. Herrera and Leandro Balzano  
Filed : 10/20/2003  
TC/A.U. : 1754  
Examiner : S. Hendrickson  
Title : METHOD FOR PRODUCING SINGLE WALLED  
CARBON NANOTUBES  
Docket No. : 5820.640  
Customer No. : 30589

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This  
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. [X] Preliminary Statements
2. [X] FORM PTO-1449 (Modified)
3. [X] Statement as to Information Not Found in Patents or Publications
4. [X] Copies of Listed Information Items Accompanying this Statement

5. ☒ Identification of Person(s) Making this Information Disclosure Statement

### **Section 1. Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

### **Section 2. Form PTO-1449 (Modified)**

☒ A completed Form 1449 (Modified) is attached hereto.

☐ No Form 1449 (Modified) is attached.

### **Section 3. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)**

### **Section 4. Copies of Listed Information Items Accompanying this Statement**

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

☒ Exceptions to the above:

☒ As this application is being filed after June 30, 2003, no copies of cited U.S. patents or patent application publications are submitted herewith.

- ☒ Regarding the foreign patents and publications and the non-patent documents listed, legible copies of such items are attached hereto.

**Section 5. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT**

The person making this statement is the attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the attorney's file

Respectfully submitted,



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Date Deposited: 01/03/2007

Substitute for form 1449A/PTO

# **FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known	
Application Number	10/689,258
Filing Date	10/20/2003
First Named Inventor	Daniel E. Resasco et al.
Group Art Unit	1754
Examiner Name	S. Hendrickson
Attorney Docket Number	5820.640

U. S. PATENT DOCUMENTS						
EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number	Kind Code <sup>2</sup> (If known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM- DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

FOREIGN PATENT DOCUMENTS							
EXAM INIT.	Cite No. 1	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>4</sup>
		Office 3	Number 4	Kind Code <sup>5</sup> (If known)			

U.S. and Foreign: <sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that Issued the document, by the two-letter code (WIPO Standard St.3). <sup>4</sup>Form Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

EXAM INIT.	PATENT DOCUMENTS	
	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	
	BAHR ET AL., "Functionalization of Carbon Nanotubes by Electrochemical Reduction of Aryl Diazonium Salts: A Bucky Paper Electrode," <i>J. Am. Chem. Cos.</i> Vol. 123 (2001) pp 6536-6542.	
	BUFFA ET AL., "Side-Wall Functionalization of Single-Walled Carbon Nanotubes with 4-Hydroxymethylaniline Followed by Polymerization of $\epsilon$ -Caprolactone," <i>Macromolecules</i> , Vol 38, No. 20 (2005) pp. 8258-8263.	
	DYKE ET AL., "Unbundled and Highly Funtionalized Carbon Nanotubes from Aqueous Reactions," <i>NanoLetters</i> , Vol. 3, No. 9 (2003) pp. 1215-1218.	
	SAITO, ET AL, "Electronic structure of chiral graphene tubules," <i>Appl. Phys. Lett.</i> Vol. 60, No. 18 (May 4, 1992) pp. 2204-2206.	